

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: ABHINANDA SARKAR, ET AL

Group Art Unit:

Serial No.:

Examiner:

Filed:

For SYSTEM, METHOD AND COMPUTER  
PRODUCT FOR OPTIMAL PRICING OF A  
FINANCIAL PRODUCT

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP PATENT APPLICATION  
COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit\_\_\_\_\_  
Type or Print Name\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below;
- ☐ 9 <sup>or</sup> The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

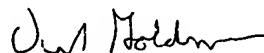
An original and two (2) copies of this document are enclosed.

Respectfully submitted,

3/29/84

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
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|---|-----------------|---|----------|----------------------------|-----------------|------------|-------------------------------|
| FORM PTO-1449<br>(REV. 7-80)  |                 | US. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE   |          | ATTY. DOCKET NO.<br>140284 |                 | SERIAL NO. |                               |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT<br><u>LIST OF ITEMS</u>   |                 |   |          | Applicant                  |                 |            |                               |
|   |                 |   |          | Abhinanda Sarkar, et al    |                 |            |                               |
|   |                 |   |          | Filing Date                |                 | Group      |                               |
| <b>U.S. PATENT DOCUMENTS</b>  |                 |   |          |                            |                 |            |                               |
| *EXAMINER<br>INITIAL  | DOCUMENT NUMBER |   | DATE     | NAME                       | CLASS           | SUBCLASS   | Filing Date<br>If Appropriate |
|   | AA              | 6,049,782   | 04/11/00 | Gottesman, et al           |                 |            |                               |
|   |                 |   |          |                            |                 |            |                               |
| <b>FOREIGN PATENT DOCUMENTS</b>   |                 |   |          |                            |                 |            |                               |
|   |                 | DOCUMENT<br>NUMBER  | DATE     | COUNTRY                    | CLASS           | SUBCLASS   | TRANSLATION<br>YES NO         |
|   | A               | WO 02/10961 A2  | 02/07/02 | PCT                        |                 |            |                               |
| <b>OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)</b>   |                 |   |          |                            |                 |            |                               |
|   | C1              | Alan L. Montgomery, "Implementing Pricing Decision Support Systems for Retail Managers", October 2003 |          |                            |                 |            |                               |
|   | C2              | "Pricing and Revenue Optimization for the Financial Services Industry", Manugistics White Paper, 2001 |          |                            |                 |            |                               |
| EXAMINER  |                 |   |          |                            | DATE CONSIDERED |            |                               |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant |                 |   |          |                            |                 |            |                               |